



Revision 0

Qualification and Certification of Quality Assurance Personnel

RMRS-QA-02.01

APPROVED BY:


 Juan Hernandez, RMRS QA Manager

28 DEC 95

Date

SUBJECT MATTER EXPERT:


 John Bennett, RMRS QA/QM Program Manager

28 DEC. 95

Date

Responsible Organization: RMRS QA

Effective Date: 15 January 1996

Commitment:

Waste

Management QA:


 Print

Sign

Date

1/5/96

Environmental
Restoration QA:

 Print

Sign

Date

1-8-96

E/C/D&D

QA:


 Print

Sign

Date

1-5-96

ADMIN RECORD

SW-A -002756

1. PURPOSE

This procedure defines responsibilities and actions to establish and document the qualification, and certification of RMRS Quality Assurance (QA) personnel.

2. SCOPE

This procedure applies to all RMRS QA personnel requiring qualification, and/or certification in accordance with:

- Department of Energy (DOE) Orders 5480.20, Personnel Selection, Qualification, Training and Staffing Requirements at DOE Reactor and Non-Reactor Nuclear Facilities.
- 5700.6C, Quality Assurance.
- RMRS Quality Assurance Program Plan
- 10 CFR 830.120, Quality Assurance

This procedure does not apply to the certification of RMRS welders, or welding operators that are certified under the provisions of 95-ENG-WELD-0052, RMRS Welding Plan. Welding inspectors are certified to perform inspections through approved processes that are outside the scope of RMRS. RMRS verifies that welders, and welding inspectors have been certified to perform their function.

This procedure does not apply to the certification of Waste Inspectors. Waste inspectors are qualified and certified to perform waste inspections as defined by the approved processes maintained and administered by Kaiser-Hill. RMRS verifies that Waste Inspectors are qualified to perform their inspections.

This procedure does not apply to the qualification and certification of Non-Destructive Assay (NDA), Examination (NDE), or Testing (NDT) personnel. NDT, NDE, and NDA personnel are qualified and certified under approved processes administered and maintained by the functional organization that provides the service. Specifically, RMRS directly employs only NDA personnel that are qualified by the individual organization through NDA operating procedures.

3. DISCUSSION

This procedure meets the requirements and commitments depicted in the RMRS Quality Assurance Program Plan (95-QAPP-001), Section 6.2.

This procedure is designed to simplify the process of qualifying and certifying RMRS QA personnel. It assumes that base competency, physical fitness for duty, access specific requirements, and general employee indoctrination and training are accomplished through other processes.

The process defined herein enlists the efforts of both QA management and staff in establishing and maintaining the organization's qualification and certification base. Accordingly, it is the responsibility of staff members to ensure continued qualification and certification.

As additional resources are acquired, RMRS QA management will initiate the qualification process using this procedure.

4. DEFINITIONS

Assessment. An all-inclusive term for reviewing, auditing, conducting surveillance, checking, or otherwise determining and documenting the ability of a product or service to meet or exceed the needs of the customer.

Assessor (functional title). Individual qualified and certified by this procedure to conduct independent assessments (audits in NQA-1 vernacular) of RMRS activities. Lead Assessors are further qualified and certified to plan, organize, and direct assessments (audits in NQA-1 vernacular).

Quality Engineer (functional title). RMRS QA staff that are qualified, by this procedure, to participate and lead activities related to developing, implementing, improving, planning, and monitoring the implementation effectiveness and compliance with the RMRS QA Program.

Surveillance. A narrowly scoped assessment (non-audit vernacular) to determine compliance and implementation effectiveness related to the RMRS QA program. Surveillances are conducted by Quality Engineers that support the line organizations. Quality Engineers are qualified to conduct surveillances through this procedure.

5. INSTRUCTIONS

5.1 **Personnel Qualification**

- [1] The QA Manager or designee establishes and documents the qualifications of all RMRS QA staff using the Quality Engineer Qualification Form, Appendix 1.

The minimum requirements for qualification as a Quality Engineer consist of both basic minimum requirements, and program specific minimum requirements. The minimum requirements are defined on the Quality Engineer Qualification Form.

5.2 **Personnel Qualification Maintenance**

- [1] The QA Manager or designee annually reassesses continuing qualification on the Quality Engineer Qualification Form. The Quality Engineer Qualification Form is retained as a quality record.
- [2] Quality Engineers maintain qualification by continued participation in planning, reviewing, assessing, and implementing the RMRS QA Program. Continued participation and qualification is annually attested to by the QA Manager or his designee on the Quality Engineer Qualification form.

5.3 **Assessor Certification**

- [1] The QA Manager or designee establishes and documents the certification of all RMRS Assessors and Lead Assessors using the Record of Assessor/Lead Assessor Certification Form, Appendix 2.

The minimum requirements for qualification as an Assessor or Lead Assessor are defined on the Record of Assessor/Lead Assessor Certification Form.

5.4 Assessor Certification Maintenance

- [1] The QA Manager or designee maintains and annually reassesses continuing certification on the Record of Assessor/Lead Assessor Certification Form. The Record of Assessor/Lead Assessor Certification Form is retained as a quality record.
- [2] Assessors/Lead Assessors maintain certification by continued participation in planning, reviewing, assessing, and implementing the RMRS QA Program, as defined on the Record of Assessor/Lead Assessor Certification Form. Continued participation and certification is annually attested to by the QA Manager or his designee on the Record of Assessor/Lead Assessor Certification Form.

5.4 Qualification and Certification Supporting Evidence

- [1] RMRS QA Personnel provide to the QA manager or designee all supporting evidence of training, education, and experience as may be requested to support the qualification and certification process.

6. RECORDS

- [1] The QA Manager or designee shall retain, as QA records, the following qualification and certification forms and supporting documentation:
 - Complete and current, Appendix 1, Quality Engineer Qualification Form.
 - Complete and current, Appendix 2, Record of Assessor/Lead Assessor Certification Form.

7. REFERENCES

- DOE Order 5700.6C, Quality Assurance
- 10 CFR 830.120, Quality Assurance Requirements, May 1994
- 95-QAPP-001, Quality Assurance Program Plan, RMRS October 1995
- 95-ENG-WELD-0052, RMRS Welding Plan
- ASME NQA-1, Quality Assurance Program Requirements for Nuclear Facilities, 1994
- ISO 10011-2:1991, Guidelines for Auditing Quality Systems-Part 2: Qualification Criteria for Quality System Auditors
- RMRS Contract with Kaiser-Hill No. KH00003NS1A, July 1995
- Kaiser-Hill Site Quality Assurance Program

APPENDIX 1

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QUALITY ENGINEER QUALIFICATION FORM

QUALITY ENGINEER QUALIFICATION FORM	NAME	DATE																
ROCKY MOUNTAIN REMEDIATION SERVICES, L.L.C.																		
MINIMUM BASIC KNOWLEDGE, AND EXPERIENCE																		
Education Quality Engineers must achieve, at a minimum, the following education requirements: •Bachelor's degree from an accredited institution •Experience may be substituted for education at an exchange rate of three (3) years directly releatable and professional experience for 1 year of undergraduate school																		
Experience Quality Engineers must achieve, at a minimum, the following experience requirements: •Five years of Technical experience in engineering, manufacturing, construction, operation, maintenance, technical management, plus; •Two or more years of the above experience in the nuclear field, and •Two or more years of the above experience in nuclear quality assurance.																		
MINIMUM BASIC KNOWLEDGE AND EXPERIENCE REQUIREMENTS MET: <input type="checkbox"/> EVIDENCE ATTACHED: <input type="checkbox"/> (Signature/Title/Date) _____																		
MINIMUM QA PROGRAM SPECIFIC KNOWLEDGE																		
Qualification as a RMRS Quality Engineer, in addition to the minimum basic knowledge and experience, requires specific knowledge evidenced by completing required reading identified on the back of this form. In addition to meeting the basic requirements of a Quality Engineer, special emphasis may be granted to work in the areas of Environmental Restoration, Waste Management, and/or Engineering/Construction/D&D. To obtain the qualifications, each set of required reading shall be completed and signed off by the quality engineering candidate. Qualification to minimum QA program and special emphasis areas will be attested to below.																		
MINIMUM QA PROGRAM SPECIFIC KNOWLEDGE REQUIREMENTS MET: <input type="checkbox"/> (Signature/Title/Date) _____																		
QUALIFICATION TO CONDUCT SURVEILLANCE (See Reverse Side For Guidance)																		
SURVEILLANCE COMMUNICATION SKILLS																		
Evaluated by: (Name and Title) _____																		
SURVEILLANCE TRAINING COURSES																		
Course Title or Topic: 1. _____ 2. _____																		
EXAMINATION PASSED: <input type="checkbox"/> Written <input type="checkbox"/> Verbal <input type="checkbox"/> Other (Explain) <input type="checkbox"/> Evidenced																		
SURVEILLANCE PARTICIPATION, IN LIEU OF TRAINING, TO ESTABLISH SURVEILLANCE QUALIFICATION																		
LOCATION	SURVEILLANCE	DATE																
1																		
2																		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">QUALIFIED AS:</td> <td style="width: 20%;">Initial: _____</td> <td style="width: 20%;">Date: _____</td> <td style="width: 30%;">RMRS Quality Assurance Engineer With Surveillance Qualification</td> </tr> <tr> <td>QUALIFIED AS:</td> <td>Initial: _____</td> <td>Date: _____</td> <td>RMRS Quality Assurance Engineer With ER Emphasis</td> </tr> <tr> <td>QUALIFIED AS:</td> <td>Initial: _____</td> <td>Date: _____</td> <td>RMRS Quality Assurance Engineer With WM Emphasis</td> </tr> <tr> <td>QUALIFIED AS:</td> <td>Initial: _____</td> <td>Date: _____</td> <td>RMRS Quality Assurance Engineer With Engineering/Construction/D&D Emphasis</td> </tr> </table>			QUALIFIED AS:	Initial: _____	Date: _____	RMRS Quality Assurance Engineer With Surveillance Qualification	QUALIFIED AS:	Initial: _____	Date: _____	RMRS Quality Assurance Engineer With ER Emphasis	QUALIFIED AS:	Initial: _____	Date: _____	RMRS Quality Assurance Engineer With WM Emphasis	QUALIFIED AS:	Initial: _____	Date: _____	RMRS Quality Assurance Engineer With Engineering/Construction/D&D Emphasis
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QUALIFIED AS:	Initial: _____	Date: _____	RMRS Quality Assurance Engineer With Engineering/Construction/D&D Emphasis															
QUALIFIED AS RMRS QUALITY ENGINEER AND CERTIFIED TO CONDUCT SURVEILLANCE																		
(Signature/Title/Date) _____																		
ANNUAL EVALUATION FOR MAINTENANCE OF PROFICIENCY:	Prof. Maintained	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No											
	Evaluator Initials																	
	Date																	

APPENDIX 1

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QUALITY ENGINEER QUALIFICATION FORM

Quality Engineer And Surveillance Qualification Requirements		
MINIMUM QA PROGRAM SPECIFIC KNOWLEDGE - REQUIRED READING		Completed By QE Candidate
Document	Date	Initials
RMRS Contract No. KH00003NS1A, Section C, D, E, F, G, H, J		
RMRS Quality Assurance Program Plan, 95-QAPP-001, Latest Revision		
Kaiser-Hill Site Quality Assurance Program		
DOE/HR-0086, Total Quality Management Implementation Guidelines, December 1993		
ANSI/ASQC Q9004-1, Quality Management and Quality System Elements-Guidelines		
DOE Order 5700.6C, Quality Assurance, August 21, 1991		
10 CFR 830.120, Quality Assurance Requirements, May 1994		
Quality assurance Program Procedures Manual, EG&G Rocky Flats, Inc., Latest Revision		
MINIMUM ER QA PROGRAM SPECIFIC KNOWLEDGE - REQUIRED READING		
Environmental Management Administrative Procedures Manual, 3-21000-ADM		
Guidance for the Data Quality Objectives Process, EPA QA/G-4, 1994		
Specifications and Guidelines for Quality Systems for Environmental Data Collection and Environmental Technology Programs, ANSI/ASQC E4-1994		
DOE Order 490 General Environmental Protection Program, DRAFT, March 1995		
MINIMUM WM QA PROGRAM SPECIFIC KNOWLEDGE - REQUIRED READING		
Environmental Waste Quality Assurance, 1-10000-EWQA		
Part IV of the RCRA Part B permit, Resource Conservation and Recovery Act		
NVO-325, Nevada Test Site (NTS) Defense Waste Acceptance Criteria, Certification, and Transfer Requirements		
Low Level Waste Management Plan		
TRU Waste Management Plan		
MINIMUM ENGINEERING/CONSTRUCTION/D&D QA PROGRAM SPECIFIC KNOWLEDGE - REQUIRED READING		
Conduct of Engineering Manual		
Decommissioning Program Plan, Latest Version		
Integrated Work Control Program manual		
Rocky Flats Plant Standards		
<p>Communication Skills Quality Engineers, qualified to conduct surveillance, shall have the capability to communicate effectively, both in writing and orally, and these skills shall be attested to in the section indicated. Evidence of oral communication skills shall be subjectively determined by the evaluator, but shall generally be based on having witnessed the QE communicate with peers and contemporaries. Written communication skills shall be attested to based on review of documents, reports, papers, or correspondence developed by the QE.</p> <p>Surveillance Training To establish qualifications, surveillance participation may be waived if candidate has participated in and passed a course and examination dealing specifically with surveillance. Equally, completion of formal training and testing related to assessment (auditing) may be substituted for surveillance participation.</p> <p>Surveillance Participation Except where formal training is evidenced, QE shall have participated in a minimum of two (2) surveillance within the two (2) years prior to the date of qualification.</p>		
MAINTENANCE OF QUALITY ENGINEER QUALIFICATION		
<p>Maintenance of Qualification Once qualification is established, proficiency shall be maintained through one of the following: regular and active participation in the surveillance/assessment process, review and study of codes, standards, procedures, instructions, and other documents related to the RMRS QA program and related program surveillance/assessment; or participation in related training programs. The space below shall be used to describe/document activities, over the preceding year, that support annual qualification continuance determination.</p>		
LOCATION	ACTIVITIES	DATES
1	S A M P L E	
2		
3		
4		
5		

APPENDIX 2

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RECORD OF ASSESSOR/LEAD ASSESSOR CERTIFICATION FORM

RECORD OF ASSESSOR / LEAD ASSESSOR CERTIFICATION	NAME	DATE
ROCKY MOUNTAIN REMEDIATION SERVICES, L.L.C.		
POINTS TOWARD CERTIFICATION (See Reverse Side For Certification Guidance And Point Allocation)		
Education - University/Degree Date (5 Points Max.)		POINTS
1. Undergraduate Level 2. Graduate level		
Experience - Company (7 Points Max.: Assessor, 9 Points Max.: Lead Assessor)		
Technical Nuclear Field Quality Assurance Assessing Nuclear QA Nuclear QA Assessment		
Professional Accomplishment - Certification/Date (2 Points Max.)		
1. P.E. 2. Society		
Management Discretion - Provide Justification/Evaluator (3 Points Max.)		
Explain: Evaluated by: (Name and Title)		
(Min: Assessor - 9 Points, Lead Assessor - 12 Points) Total Points		
AUDIT COMMUNICATION SKILLS		
Evaluated by: (Name and Title)		
ASSESSOR TRAINING COURSES		
Course Title or Topic: 1.		Date
2.		
EXAMINATION PASSED: <input type="checkbox"/> Written <input type="checkbox"/> Verbal <input type="checkbox"/> Other (Explain) <input type="checkbox"/> Evidenced		
ASSESSMENT PARTICIPATION TO ESTABLISH CERTIFICATION (SEE TABLE ON REVERSE SIDE FOR LISTING OF QA PARTICIPATION SUPPORTING CERTIFICATION MAINTENANCE)		
LOCATION	AUDIT	DATE
1		
2		
3		
4		
5		
CERTIFIED AS: <input type="checkbox"/> Assessor <input type="checkbox"/> Lead Assessor (Signature & Title) _____		Date :
ANNUAL EVALUATION FOR MAINTENANCE OF PROFICIENCY:	Prof. Maintained <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Evaluator Initials	
	Date	

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SAMPLE

APPENDIX 2

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RECORD OF ASSESSOR/LEAD ASSESSOR CERTIFICATION FORM

Assessor Certification Guidance and Point Clarification																							
Certification Requirements																							
Assessor	Lead Assessor																						
<p>Education and Experience The prospective Quality Assurance Assessor shall have verifiable evidence that a minimum of nine (9) points under the following scoring system have been accumulated with a minimum of two (2) points being obtained from education.</p> <p>Education The candidate may obtain a maximum of five (5) points for educational qualifications as follows: •Associate Degree from an accredited institution: one (1) point •If the Associate Degree is in engineering, physical sciences, mathematics, or quality assurance: one (1) additional point; or, •Bachelor's degree from an accredited institution: two (2) points •If the Bachelor's degree is in engineering, physical sciences, mathematics, or quality assurance, management (science): one (1) additional point •Masters degree from an accredited institution in engineering, physical sciences, management, or quality assurance: two (2) additional points</p> <p>Experience The candidate may obtain a maximum of seven (7) points for experience qualifications as follows: •Technical experience in engineering, manufacturing, construction, operation, maintenance: one (1) point for each full year [four (4) points maximum]; plus, •Two or more years of the above experience in the nuclear field: one (1) additional point; or, •Two or more years of the above experience in quality assurance: two (2) additional points; or, •Two or more years of the above experience in quality assurance auditing: three (3) additional points; or, •Two or more years of the above experience in nuclear quality assurance: three (3) additional points; or, •Two or more years of the above experience include nuclear quality assurance assessments: four (4) additional points.</p> <p>Other Credentials of Professional Accomplishment Certification of competency by examination in engineering, science, or quality assurance specialties issued and approved by a state or federal agency, or a national professional or technical society: two (2) points.</p> <p>Communication Skills Assessor shall have the capability to communicate effectively, both in writing and orally, and these skill be shall attested to here.</p> <p>Management Discretion Management may award two (2) points for factors not specified herein, such as leadership, analytical ability, past performance, and additional QA training.</p> <p>Audit Participation Shall have participated in a minimum of three (3) quality assurance audits within the three (3) years prior to the date of qualification under the direction of a certified lead auditor.</p> <p>Maintenance of Certification Shall maintain proficiency through one or more of the following: regular and active participation in the assessment process; review and study of codes, standards, procedures, instructions, and other documents related to the RMRS QA program and related program assessment; or participate in related training programs.</p>	<p>Education and Experience The prospective Quality Assurance Lead Assessor shall have verifiable evidence that a minimum of twelve (12) points under the following scoring system have been accumulated with a minimum of two (2) points being obtained from education.</p> <p>Education The candidate may obtain a maximum of five (5) points for educational qualifications as follows: •Associate Degree from an accredited institution: one (1) point •If the Associate Degree is in engineering, physical sciences, mathematics, or quality assurance: one (1) additional point; or, •Bachelor's degree from an accredited institution: two (2) points •If the Bachelor's degree is in engineering, physical sciences, mathematics, or quality assurance, management (science): one (1) additional point •Masters degree from an accredited institution in engineering, physical sciences, management, or quality assurance: two (2) additional points</p> <p>Experience The candidate may obtain a maximum of nine (9) points for experience qualifications as follows: •Technical experience in engineering, manufacturing, construction, operation, maintenance: one (1) point for each full year [five (5) points maximum]; plus, •Two or more years of the above experience in the nuclear field: one (1) additional point; or, •Two or more years of the above experience in quality assurance: two (2) additional points; or, •Two or more years of the above experience in quality assurance auditing: three (3) additional points; or, •Two or more years of the above experience in nuclear quality assurance: three (3) additional points; or, •Two or more years of the above experience include nuclear quality assurance assessments: four (4) additional points.</p> <p>Other Credentials of Professional Accomplishment Certification of competency by examination in engineering, science, or quality assurance specialties issued and approved by a state or federal agency, or a national professional or technical society: two (2) points.</p> <p>Communication Skills Assessor shall have the capability to communicate effectively, both in writing and orally, and these skill be shall attested to here.</p> <p>Management Discretion Management may award three (3) points for factors not specified herein, such as leadership, analytical ability, past performance, and additional QA training.</p> <p>Audit Participation Shall have participated in a minimum of five (5) quality assurance audits within the three (3) years prior to the date of qualification; two (2) of which were conducted at a DOE facility.</p> <p>Maintenance of Certification Shall maintain proficiency through one or more of the following: regular and active participation in the assessment process; review and study of codes, standards, procedures, instructions, and other documents related to the RMRS QA program and related program assessment; or participate in related training programs.</p>																						
<p>PARTICIPATION IN QA PROCESS TO SUPPORT MAINTENANCE OF CERTIFICATION</p> <table border="1"> <thead> <tr> <th>LOCATION</th> <th>ACTIVITIES</th> <th>DATES</th> </tr> </thead> <tbody> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> <tr><td></td><td></td><td></td></tr> </tbody> </table>			LOCATION	ACTIVITIES	DATES																		
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SAMPLE